

# **COMMUNICATION DEVICE, HOST APPARATUS, AND COMMUNICATION METHOD**

## **CROSS-REFERENCE TO RELATED APPLICATIONS**

This application is based upon and claims the benefit of priority from the prior Japanese Patent Application No.2002-341096, filed in November 25, 2002, the entire contents of which  
5 are incorporated herein by reference.

## **FIELD OF THE INVENTION**

The present invention relates to a communication device, a host apparatus and a communication method for data  
10 communication through a USB interface.

## **BACKGROUND OF THE INVENTION**

### **Description Of Related Art**

In recent years, the USB (Universal Serial Bus) interface has  
15 become widely spread as a type of serial interface for communicating between a computer (host apparatus) including the host function and peripheral devices connected to the computer. A problem that may arise, some cases, in using the USB interface, is that the host apparatus may erroneously recognize an error in a  
20 peripheral device. A need arises for a technique that will avoid of deviation of the protocol phase of operation of the USB interface due to such erroneous recognition of error.

Data communication using the USB interface is generally performed in units called transactions. A transaction is formed

from a plurality of packets. These packets include SOF packets, token packets, data packets, and handshake packets.

Fig. 8 is a diagram for describing formats of respective packets.

5       The SOF packet P1 shows the start of a frame which is generated every 1 ms by the host apparatus. The token packet P2 is generated by the host apparatus when the transaction starts. Moreover, the data packet P3 is used when the data is transferred. The handshake packet P4 is used to report the results of the  
10   transaction.

      The SOF packet P1 has a synchronization (Synchronize: SYNC) field, a packet ID (PID) field, a frame number (Frame Number) field, an error determination (Cyclic Redundancy Check: CRC) field and an end (End of Packet: EOP) field.

15       The token packet P2 has a SYNC field, a PID field, an address (ADDR) field, an end point number (ENDP) field, a CRC field and an EOP field.

      The data packet P3 has a SYNC field, a PID field, a data (DATA) field, a CRC field, and an EOP field.

20       The handshake packet P4 has a SYNC field, a PID field and an EOP field.

      All packets P1 to P4 start with the SYNC field of 8-bit length, immediately followed by the PID field of 8-bit length. This SYNC field is used for synchronization of a communication signal,  
25   while the PID field is used to identify the type of packet. Moreover, all packets P1 to P4 end with the EOP field of 2-bit length.

The frame number field of 11-bit length in the SOF packet P1 is used to indicate the frame number of the transaction, while the CRC field of 5-bit length is used for checking an error for the data of the frame number field.

5        The ADDR field of 7-bit length in the token packet P2 is used to designate a device that is the receiving destination and the ENDP field of 4-bit length is used to identify the end point of the device. The end point means a FIFO buffer which is used for data transfer. Moreover, the CRC field of 5-bit length in the token  
10    packet P2 is used for error checking for the data of the ADDR field and ENDP field.

The DATA field in the data packet P3 is used for data transfer and the CRC field of 16-bit length is used for error checking of the DATA field.

15        The handshake packet P4 includes only a SYNC field, a PID field and an EOP field. The handshake packet may be classified into an acknowledge (ACK) packet, for notifying of successful data reception, a non-acknowledge (NAK) packet for requesting, for example, re-transmission of data, and a STALL packet, for  
20    notifying that data transmission and reception are impossible.

Fig. 9 illustrates the operation when an error is generated in the device side of the communication system conforming to the bulk-only communication protocol of USB (conforming to the USB Mass Storage Class Bulk Only Transport 1.0).

25        When an error is generated in a device as illustrated in Fig. 9, the relevant device transmits the STALL packet to the host apparatus (step 1). Upon reception of the STALL packet, the host

apparatus recognizes that the device has stopped the data transfer phase. Thereby, the data transfer from the host apparatus may be suspended.

5       Thereafter, the host apparatus transmits a clear feature command to the device (step 2). The device clears the end point in response to the clear feature and then transmits a status information (CSW)(step 3). The host apparatus reads the status information from the device and re-starts the data transfer by executing the transaction for such status information.

10       For instance, the patent document 1 (Japanese Published Unexamined Patent Application No.264185/1992) discloses an apparatus which can detect recovery of a failure or occurrence of a failure in the communication system. Moreover, the patent document 2 (Japanese Published Unexamined Patent Application  
15       No. 89510/1979) discloses a method for verification of transmission based on the response signal to the data transmitted.

      In the error processing protocol of Fig. 9, the host apparatus sometimes enters a situation in which it erroneously recognizes a failure of the device even when the device does not transmit the  
20       STALL packet.

      For example, the signal of a packet is sometimes transmitted erroneously because of the influence of external noise and the influence of jitter in the PLL circuit that generates the clock. Usually, if such an error is generated, the packet is determined to  
25       be invalid through the verification of the information in the CRC field of the packet. However, unlike the other packets P1 to P3, the handshake packet P4, such as an ACK packet, a NAK packet, and a

STALL packet, does not have the CRC field (refer to Fig. 8) and therefore matching is verified only with the PID field. In particular, in the PID field, the type of packet is indicated with four bits and an error is checked with the remaining four bits. In  
5 the PID field, the remaining four bits are the data of the four bits indicating the kind of packet inverted in logical level. Therefore, if two bits are in error in the PID field, erroneous recognition of the type of packet may occur.

In particular, bit errors are easily generated in devices that  
10 are easily influenced by external noise, such as a mobile devices, mobile information terminals, communication devices used for space engineering, and in devices that have a large amount of jitter in their clock signals.

As a particular example of the erroneous recognition of the  
15 handshake packet P4, the ACK packet or NAK packet is erroneously recognized as the STALL packet. The ACK packet and NAK packet are issued for verifying reception of data through the packet transfer, while the STALL packet is issued for suspending data transfer. Therefore, when the host apparatus erroneously  
20 recognizes the ACK packet or NAK packet as the STALL packet, deviation of protocol phase is generated in which only the host apparatus suspends the data transfer and the device tries to continue the normal data transfer protocol.

Fig. 10 illustrates the operations when the host apparatus  
25 erroneously recognizes the ACK packet or NAK packet from the device as the STALL packet.

First, the normally operating device transmits the ACK

packet or NAK packet (step 1a). When the host apparatus erroneously recognizes that it has received the STALL packet, the host apparatus issues a clear feature command to the device (step 2a). Thereafter, it tries to execute the transaction for the status  
5 information (CSW).

However, since the device did not actually transmit the STALL packet and does not recognize occurrence of an error, it continues the data transfer in accordance with the ordinary protocol (step 3a). As a result, deviation is generated in the protocol in the  
10 host apparatus side and device side. Namely, the device transmits the data but the host apparatus interprets that this data is the status information (CSW). Accordingly, a problem arises here. Namely, the data intended by the transmitting side and receiving side is different.

15 In this case, the host apparatus inspects signature information included in the data received in the step 3a, which is considered as the status information. However, since the signature information does not match with the normal value, the host apparatus thinks that a failure has been generated in the device.  
20 The host apparatus that has detected the failure resets the device. Namely, the device is forcibly reset based on erroneous recognition by the host apparatus even when the device is operating normally and is capable of transferring the data. If the normal device is reset as described above, processing time taking a number of seconds is  
25 required for recovery and thereby reliability of the sequence is lost.

Particularly, in the bulk-only communication protocol of USB, the port for data transfer and the port for transfer of status

information are used in common. Accordingly, it is difficult to determine deviation of the protocol phase described above and the associated drop in system reliability due to erroneous recognition of the handshake packet may be considered to be a problem.

5

## **SUMMARY OF THE INVENTION**

To solve the above problem, the present invention provides a communication device, a host apparatus and a communication method in which avoid protocol phase deviation when the  
10 handshake packet is recognized erroneously.

A further aspect of the present invention is that data communication with a host apparatus is performed via a USB interface in order to achieve the objects described above. In USB data communication, when a first packet is transmitted to the host  
15 apparatus, the host apparatus sometimes erroneously recognizes that it has received a packet which is a different type from the packet that was transmitted. In this case, erroneous recognition of the packet is detected with a packet detector, which detects a second packet received from the host apparatus. Accordingly,  
20 deviation of protocol phase between the host apparatus and communication device can be avoided by transmitting a third packet with the transmitting means when such erroneous recognition is detected.

A further aspect of the present invention is that the bulk-  
25 only communication system may be used as the communication system for the host apparatus. Moreover, the packet transmitted to and received by the host apparatus may include an ACK packet or a

NAK packet. When the host apparatus recognizes that it has received the second packet even if the ACK packet or NAK packet is transmitted, since the predetermined command is outputted from the host apparatus, erroneous recognition of the host apparatus can  
5 be detected based on such command.

A further aspect of the present invention is that the number of times of reception of the predetermined command is counted and the number of times of transmission of the second packet is also counted. A failure of the communication system is measured based  
10 on the number of times of reception and transmission. In the USB communication protocol, after the second packet is transmitted to the host apparatus from a device, the host apparatus transmits the predetermined command. The number of times of generation of a failure in the communication system can be measured by  
15 calculating, with a determining unit, a difference between the number of times of reception of the predetermined command and the number of times of transmission of the second packet.

A further aspect of the present invention is that the second packet is the STALL packet to notify that the data transfer is  
20 suspended.

A further aspect of the present invention is that the data communication with the communication device can be performed via the USB interface. In USB data communication, when a first packet is transmitted to the host apparatus, the host apparatus  
25 sometimes erroneously recognizes that it has received a packet which is a different type from the packet that was transmitted. In order to avoid deviation of the protocol phase due to such



erroneous recognition, an auxiliary protocol is executed to verify deviation of the protocol phase.

In particular, when the packet received by the host apparatus is recognized as a particular type of packet twice in a row, the  
5 predetermined command is transmitted from the host apparatus as the auxiliary protocol.

As described above, the present invention avoids protocol phase deviation when the STALL packet is erroneously recognized by the host apparatus via a USB interface.

10

#### **BRIEF DESCRIPTION OF THE DRAWINGS**

Fig. 1 is a block diagram illustrating a first embodiment.

Fig. 2 is a block diagram illustrating a CF detecting portion.

Fig. 3 is a diagram for describing operations in erroneous  
15 recognition.

Fig. 4 is a block diagram illustrating a second embodiment.

Fig. 5 is a diagram for describing operations in occurrence of error in the device.

Fig. 6 is a diagram for describing operations in erroneous  
20 recognition.

Fig. 7 is a block diagram illustrating a third embodiment.

Fig. 8 is a diagram for describing formats of packets.

Fig. 9 is a diagram for describing operations in occurrence of error in the device.

25 Fig. 10 is a diagram for describing operations in erroneous recognition.

## DETAILED DESCRIPTION OF THE INVENTION

(First Embodiment)

A first embodiment of the present invention in a communication apparatus will be described with reference to the accompanying drawings.

Fig. 1 is a block diagram of a communication system for data transfer conforming to the Universal Serial Bus (USB) interface standards. As illustrated in Fig. 1, a host PC (host apparatus) 11 provided for management of communications by the USB is connected with a device 12 via a USB bus 13. The device 12 is, for example, a hard disk drive conforming to the USB Mass Storage Class Bulk Only Transport 1.0. In Fig. 1, only the circuit for data transfer in the device 12 is illustrated.

The device 12 is provided with a physical layer circuit (PHY) 14, a link layer circuit (LINK) 15, first to third end points 16, 17, 18 and a controller 19.

The physical layer circuit 14 in the device 12 is connected to the host PC 11 via the USB bus 13. Moreover, the physical layer circuit 14 is connected to the link layer circuit 15, which is connected to the end points 16 to 18. Moreover, the end points 16 to 18 are connected to the controller 19.

The physical layer circuit 14 converts an electrical signal inputted via the USB bus 13 to a logical signal to be processed by the link layer circuit 15 and then outputs this logical signal to the link layer circuit 15. Moreover, the physical layer circuit 14 converts the logical signal inputted from the link layer circuit 15 to an electrical signal and then outputs this electrical signal to the

USB bus 13.

The link layer circuit 15 determines the type of the packet received and then outputs this packet to the first end point 15 or to the third end point 18. In addition, the link layer circuit 15 fetches  
5 a transmitted packet from the first end point 16 or second end point 17 and outputs the logic signal to the physical layer circuit 14 depending on such packet.

The first end point (Control End Point) 16 is a FIFO buffer having a transmission/reception type transfer function and is  
10 mainly used for initialization of the device 12. The second end point (Bulk-In End Point) 17 and the third end point (Bulk-Out End Point) 18 are FIFO buffers having a transmission type transfer function and a reception type transfer function, respectively. These end points 17, 18 are used for data read/write and command transfer  
15 to a data recording portion (not illustrated).

Namely, the first end point 16 is used for transmission and reception of the command for the initialization operation (including the clear feature command) in the device 12. Moreover, the second end point 17 is used for data transmission, while the third end point  
20 18 is used for data reception.

The controller 19 is a circuit for controlling data transfer and is provided with a clear feature (CF) detecting portion 19a and a STALL packet (ST) transmitting portion 19b. The CF detecting portion 19a is a circuit for detecting the clear feature command  
25 generated by the host PC 11, while the ST transmitting portion 19b is a circuit for transmitting the STALL packet.

In the device 12 of this embodiment, the clear feature

command received from the host PC 11 is transferred to the CF detecting portion 19a of the controller 19 via the first end point 16. The STALL packet is transmitted from the ST transmitting portion 19b of the controller 19 via the second end point 17.

5           As illustrated in Fig. 2, the CF detecting portion 19a is provided with a CF-PacketData train detecting circuit 20a and a USB control register 20b. The CF-PacketData train detecting circuit 20a monitors the data packets from the first end point (Control End Point) 16 and sets, upon detection of the Data train of  
10 the Clear Feature, the Clear Feature detection bit Bcf in the USB control register 20b.

Next, operations of the communication system of this embodiment will be described.

As illustrated in Fig. 3, the normally operating device 12  
15 transmits the ACK packet or NAK packet (step 21). In this case, when the packet is transmitted erroneously due to external noise and the host PC 11 erroneously recognizes that the STALL packet is received, the host PC 11 transmits a packet including the clear feature command to the device 12 (step 22).

20           The device 12 receives this clear feature. Conventionally, the device 12 operates would not transmit the STALL packet. However, in the present invention, the CF detecting portion 19a detects the clear feature command. Therefore, the device 12 transmits the STALL packet for verification to the host PC 11 (step  
25 23). Since the STALL packet is transmitted, the protocol phase is matched between the host PC 11 and the device 12, even if the STALL packet is erroneously recognized or not.

Thereafter, the host PC 11 again transmits the clear feature packet (step 24). In this case, the device 12 determines that the clear feature command is received for the STALL packet transmitted in the step 23 and transmits the status information (CSW) in response to the clear feature command. This status information is transmitted as the bulk-in data packet via the second end point 17. Accordingly, the status information is transmitted and received between the host PC 11 and the device 12. The data transfer is started again when the transaction is executed for the status information.

Moreover, when the device 12 erroneously recognizes the signal received from the host PC 11 as the clear feature command, deviation between protocols on both devices can be prevented when the device 12 transmits the STALL packet to the host PC 11.

As described above, the present embodiment provides the following effects.

(1) When the host PC 11 erroneously recognizes the STALL packet, such erroneous recognition is detected by the CF detecting portion 19a. In particular, when the host PC 11 erroneously recognizes that it has received the STALL packet, even if the device 12 has transmitted the ACK packet or NAK packet, the host PC 11 outputs the clear feature command. Therefore, such erroneous recognition by the host PC 11 is detected with the clear feature command. When erroneous recognition occurs, the STALL packet is transmitted from the ST transmitting portion 19b in order to adjust deviation of the protocol phase. Therefore, since the status information can be transmitted and received correctly, the

data transfer can be started again without resetting the device 12.

(2) Since the problem of system-down time due to the resetting of the device 12 can be avoided, reliability of communication system can be improved.

## 5 (Second Embodiment)

The second embodiment embodying the present invention will be described below.

In the communication system of the first embodiment, deviation of protocol phase has been avoided through control in the  
10 device 12, but in the communication system of the second embodiment, deviation of protocol phase is avoided through control in the host PC.

As illustrated in Fig. 4, the host PC 31 is connected to the device 32 via the USB bus 33. The device 32 is the hard disk drive  
15 conforming to the USB Mass Storage Class Bulk Only Mode 1.0. In Fig. 4, only the circuit for data transfer in the host PC 31 is illustrated.

The host PC 31 is provided with a physical layer circuit (PHY) 34, a link layer circuit (LINK) 35, a memory 36 and a  
20 controller 37. The physical layer circuit 34 is connected to the device via the USB bus 33. Moreover, the physical layer circuit 34 is connected to the link layer circuit 35, which is connected to the controller 37. Moreover, the link layer circuit 35 is connected to the memory 36 via the PCI bus 38 and the memory 36 is connected  
25 to the controller 37.

The physical layer circuit 34 converts an electrical signal inputted via the USB bus 33 to a logic signal processed by the link

layer circuit 35 and then outputs this logic signal to the link layer circuit 35. Moreover, the physical layer circuit 34 converts the logic signal inputted from the link layer circuit 35 to an electrical signal and then outputs this electrical signal to the USB bus 33.

5       The link layer circuit 35 stores the received packet to the memory 36 via the PCI bus 38 and outputs, to the physical layer circuit 34, the logic signal corresponding to the transmitted packet fetched from the memory 36 via the PCI bus 38.

10       The controller 37 controls data transfer by management of data transmission and reception between the link layer circuit 35 and memory 36.

Next, operations of the communication system of this embodiment will be described.

15       As illustrated in Fig. 5, when an error is generated in the device 32 and a response to the data transfer request from the host PC 31 cannot be sent, the device 32 transmits the STALL packet (step 41). The host PC 31 receives this STALL packet. In this embodiment, the host PC 31 does not immediately transmit, upon reception of the STALL packet, the clear feature command but  
20       executes again the data transfer request (step 42).

Thereafter, when the device 32 transmits the second STALL packet (step 43) and the host PC 31 receives this STALL packet, it is determined that the data transfer phase in the device 32 is suspended. Here, the host PC 31 transmits the clear feature  
25       command to the device 32 (step 44). The device 32 clears the end point in response to the clear feature command and then transmits the status information (CSW) from the bulk-in end point (step 45).

Accordingly, the status information can be transmitted and received between the host PC31 and the device 32. Thereafter, the data transfer is started again with execution of the transaction for such status information.

5           Next, operations when the host PC 31 erroneously recognizes the ACK packet or NAK packet transmitted from the device 32 as the STALL packet will be described.

          As illustrated in Fig. 6, the normally operating device 32 transmits the ACK packet or NAK packet (step 51). This packet  
10   may be erroneously transmitted with influence of external noise and the host PC 31 may erroneously recognize that it has received the STALL packet. In this case, the host PC 31 does not immediately transmit the clear feature command but executes again the data transfer request (step 52).

15           Thereafter, the device 32 transmits the ACK packet or NAK packet in response to the data transfer request (step 53). Upon reception of the normal packet (ACK packet or NAK packet), the host PC 31 determines that the device 32 is operating normally and executes the data transfer request (step 54). In the subsequent  
20   process, the ordinary data transfer is performed between the host PC 31 and the device 32 (steps 55, 56).

          As described above, this second embodiment provides following effects.

(1)    When the packets received by the host PC 31 from the device  
25   32 are erroneously recognized twice in a row as STALL packets, the host PC 31 transmits the clear feature command. Thereby, when the host PC 31 erroneously recognizes the STALL packet,



recovery may be realized in the transaction level of the data transfer. Accordingly, deviation of the protocol by erroneous recognition by the host PC 31 can be avoided and it is no longer required to reset the device 32.

5 (2) A problem of system-down time due to the resetting of the device 32 can be avoided and reliability of communication system can be improved.

(3) In this second embodiment, since recovery may be realized in the transaction level of the data transfer, overhead for avoiding  
10 the process when the STALL packet is erroneously recognized can be reduced more in comparison with the overhead reduction in the first embodiment.

(Third Embodiment)

The third embodiment of the present invention will be  
15 described. However, differences from the first embodiment will mainly be described.

As illustrated in Fig. 7, the controller 19 in the device of this embodiment comprises the CF detecting portion 19a, the ST transmitting portion 19b, a CF counting portion 19c, a ST counting  
20 portion 19d, and a failure measuring portion 19f.

The CF counting portion 19c counts the number of times the clear feature command is received, as detected by the CF detecting portion 19a and then outputs the number of times of reception to the failure measuring portion 19f. The ST counting portion 19d  
25 counts the number of times STALL packets are transmitted by the ST transmitting portion 19b and outputs the number of times of transmission to the failure measuring portion 19f. The failure

measuring portion 19f measures the number of times of failure in the phase based on the number of times of reception of the clear feature command and the number of times of transmission of the STALL packet.

5           Namely, in the USB communication protocol, after the STALL packet is transmitted to the host PC 11 from the device 12, the clear feature command is issued to the device 12 from the host PC 11. Therefore, if a phase failure is not generated, the number of times of transmission of the STALL packet becomes equal to the  
10   number of times of reception of the clear feature command.

Therefore, the number of times of occurrence of a phase failure can be determined by calculating the difference between the number of times of transmission of the STALL packet and the number of times of reception of the clear feature command. The number of times of  
15   occurrence of the phase failure is the number of times of occurrence of the erroneous recognition of the STALL packet by the host PC 11 or the number of times of occurrence of unexpected deviation of the protocols corresponding to such erroneous recognition.

20           The number of times of phase failure calculated by the failure measuring portion 19f is used as the data for self-diagnosis. In particular, when the device 12 is provided with a display, if such phase failure occurs frequently, an alarm corresponding to the number of times of occurrence of phase failure may be displayed on  
25   the display. For example, moreover, it is also possible to display an alarm due to phase failure on the display of the host PC 11 by transmitting the number of times of phase failure to the host PC 11

in response to the data transfer request from the host PC 11.

As described above, this third embodiment provides the following effects.

- (1) The CF counting portion 19c counts the number of times of reception of the clear feature command, the ST counting portion 19d counts the number of times of transmission of the STALL packet and the number of times of phase failure in the communication system can be measured based on these number of times of transmission and the number of times of reception.
- (2) Reliability of the communication system can be evaluated using the number of times of phase failure measured by the failure measuring portion 19f.

Each embodiment may also be varied as described below.

In each embodiment, the present invention has been applied to a hard disk drive but can also be applied to the other devices, for example, ATA/ATAPI devices such as magneto-optic (MO), DVD and CD, or peripheral devices of personal computers, such as printers or scanners, etc.

In the controller 19, the CF detecting portion 19q, ST transmitting portion 19b, CF measuring portion 15c, ST counting portion 19d and failure measuring portion 19f may be realized by using hardware circuitry. However, the controller 19 is not limited thereto and the functions of each element 19a to 19f can be realized with a program executed by the controller 19.